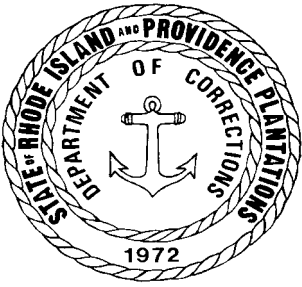


RHODE ISLAND DEPARTMENT OF CORRECTIONS

POLICY AND PROCEDURE



POLICY NUMBER:
28.10-3 DOC

EFFECTIVE DATE:
02/21/2000

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REPEALS:
28.10-2 DOC

DIRECTOR:

SECTION:
PROBATION AND PAROLE FIELD SERVICES

SUBJECT:
PROBATION AND PAROLE
MANAGEMENT AND ADMINISTRATION:
PRE-EMPLOYMENT BACKGROUND INVESTIGATIONS

AUTHORITY: Rhode Island General Laws (RIGL) § 42-56-10(v), Powers of the director

REFERENCES: ACA # 2-3039, Criminal Record Checks on Prospective Employees; Policy # 1.02 DOC, Mission Statement of the Rhode Island Department of Corrections

INMATE ACCESS THROUGH LAW LIBRARY?

X YES

I. PURPOSE:

To define the circumstances and procedures to be followed by employees of the Rhode Island Department of Corrections' (RIDOC's) Adult Probation and Parole Unit when conducting pre-employment background investigations on prospective RIDOC employees.

II. POLICY:

RIDOC seeks to employ qualified and capable individuals of good character in order to promote the Mission of the Department effectively. As part of the screening and selection process for prospective employees, a background investigation is performed by RIDOC's Adult Probation and Parole Unit, at the request of Human Resources, in order to verify information, authenticate qualifications, and confirm character.

Public Hearing: N/A (technical revisions)

Last Filed: 01/31/2000

III. **PROCEDURES:**

A. Referral from Human Resources

1. Requests for background investigations for prospective RIDOC employees are forwarded to the Assistant Administrator(s) of Adult Probation and Parole from the RIDOC Office of Human Resources.
 - a. Requests include background information as supplied by the prospective employee – position applied for, references, neighbors, and signed authorization for release of confidential information.
2. The Assistant Administrator or designee contacts RIDOC's Records and ID Unit to complete a criminal background investigation on the applicant, checking all names supplied [surnames (married and maiden) and aliases].
 - a. Bureau of Criminal Identification (BCI), National Criminal Identification Center (NCIC), Rhode Island Court and INFACETS record checks are completed by RIDOC Records and ID.
 - (1) Results of record checks (positive and negative) are forwarded to the Assistant Administrator by RIDOC Records and ID on a RIDOC record check form.
 - (2) If a criminal record exists, a computer printout will be included.
 - b. If any criminal record is revealed, the Assistant Administrator informs RIDOC's Associate Director of Human Resources or designee, who determines whether to continue or terminate the investigation.
3. The request for character investigations is forwarded to a Probation and Parole Supervisor for assignment within one (1) working day, or as soon as feasible.
4. The waiver is valid for six (6) months from date of signature.

B. Conducting the Character Investigation

1. The staff member conducting the investigation furnishes contacts with copies of signed Personal Inquiry Waiver Forms, when requested.
2. The assigned staff member contacts current and past employers as listed on the Background Investigation Form.
 - a. Assigned staff member will contact identified supervisor or person authorized to release information.
 - b. Ordinarily telephone calls and/or faxed information will suffice. In-person visits to local work sites should be conducted if necessary and feasible to obtain information regarding current and/or most recent employment.
 - c. The staff member identifies him/herself as an employee of the RIDOC and states clearly the purpose of the contact is to identify and gather information in reference to an employment application with the RIDOC.
 - d. Employers are asked to verify the applicant's work history. Inquiries are made about work record, attendance (use and abuse of exception time), working relationships with other staff, reasons for leaving (if not current job), and employer's general comments. If any problems are revealed, follow-up questions are asked to provide more information.
3. The assigned staff member contacts the references provided by the applicant.
 - a. References are asked about capacity in which they have known applicant, and for how long. They may be asked to verify relevant information and are asked for comments regarding subject's character and suitability for employment. If any problems are revealed, follow-up questions are asked to provide more information.
4. The assigned staff member contacts neighbors of the applicant.

- a. Neighbors are asked how long and how well they have known the applicant and for comments regarding subject's character. If any problems are revealed, follow-up questions are asked to provide more information.
5. The assigned staff member contacts the local police departments to determine if the applicant is known to them.
6. If the individual is applying for a position for which a professional license, certification, or other special requirement is part of the job specifications, and when so requested by Human Resources, the assigned staff member verifies current standing with respect to such credentials with the appropriate authorities. Human Resources provides copies of any license, certification, degree, or special requirement for purposes of current standing verification.

C. Disposition of Information

1. Information is written as a report in memo format addressed to the Assistant Administrator of Probation and Parole from the staff member who conducted the investigation.
 - a. Topics are generally presented in the following order: identity and comments of current employer, (sick leave hours, attendance, etc.) past employers, references, and neighbors; and verification of license, if applicable.
 - b. Include dates of contacts with individuals interviewed for the investigation. If any contacts could not be successfully completed, or if requested information could not be secured, efforts made by the assigned staff member are documented in the report.
 - c. Attach printed criminal record check (see item III.A.2.a.) form and any documented record to the investigation report.
 - d. Staff shall maintain detailed notes gathered from the investigation. Notes shall be maintained in a secure and confidential manner for a period of one (1) year.

2. The Probation Supervisor reviews the report for completeness and signs it. The investigation package (memo, copies of any pertinent documents, subject's application, and all information forwarded from Human Resources) is sent to an Assistant Probation and Parole Administrator.
3. After review, the Assistant Administrator initials and forwards the package to the requesting official at RIDOC's Office of Human Resources.
4. The assignment, investigation, and return of the package to Human Resources is ordinarily expected to be completed within ten (10) working days.
 - a. Exceptions, with explanation, are brought to the attention of an Assistant Probation and Parole Administrator.